

Client Level Data Reporting Pilot

Process and Data Evaluation

June 23, 2010

Presented by: Bernadette Phelan, Ph.D.
NASMHPD Research Institute, Inc.

Project Site Selection Process

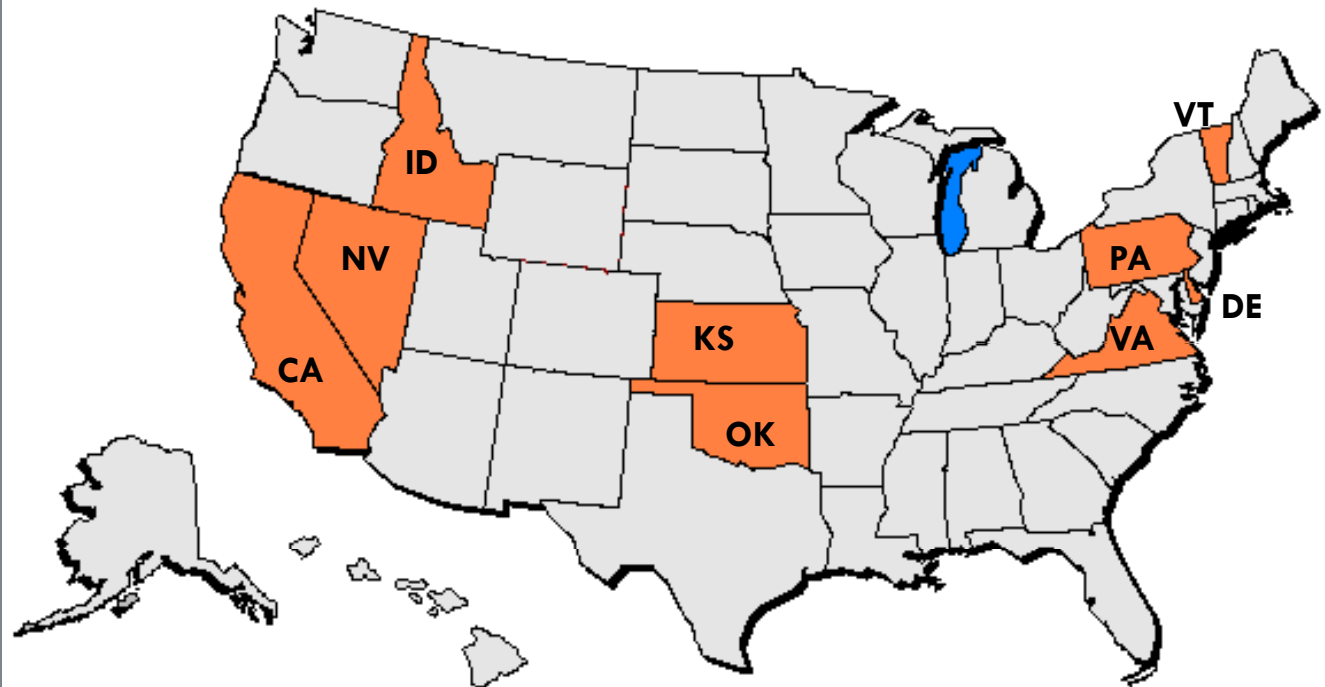
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Application Process: Sept.
7-21, 2007

Number of Applicants: 21
States and 1 U.S. Territory

Criteria:

- Regional dispersion
- Clientele Size
- System structure
 - Integrated systems
 - Service delivery models
- IT/IS level of sophistication
 - EHR/Non-EHR
 - With/out client database
 - Sources of data



Pilot States (9)

Project Advisory Panel

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The Advisory Panel met three times during the course of the pilot.

1/14/2007

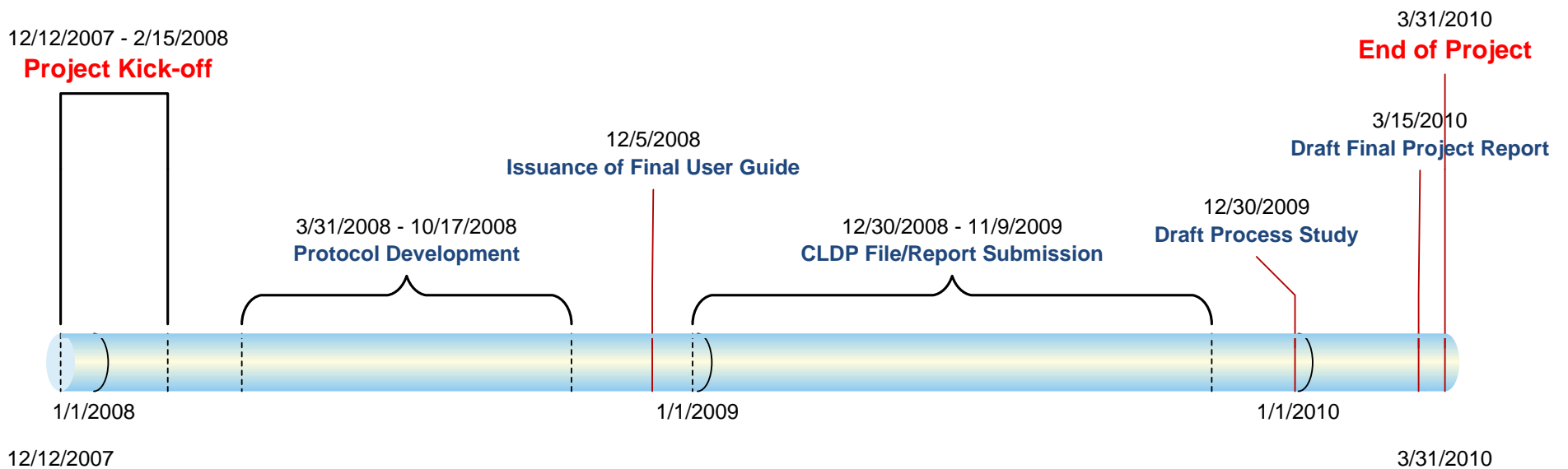
9/23/2008

12/2/2009

- Consumers/Family Groups:
 - NAMI
 - MHA
 - Federation of Families for Children's MH
 - Office of Consumer Affairs, NY State Office of MH
- National Associations:
 - NAMHPAC
 - NASADAD
 - NACBHDD
- Service Providers
 - NCCBH
- SMHAs
 - 2 Pilot states
 - 2 Non-pilot states
- SAMHSA
 - CMHS
 - CSAT
 - OAS

Project Implementation Timeline

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State Deliverables Original Due Dates:

- Test Files – 1/1/2009
- T1 Files and Crosswalk – 2/1/2009
- Contextual Report – 3/30/2009
- T2 Files – 9/15/2009
- State Final Report and Cost Report – 10/15/2009

Intent of the Pilot

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- To determine the feasibility of collecting and reporting client-level data
 - identify, document, and assess the facilitating factors, issues, and problems encountered

- To evaluate the utility of client-level data in reporting mental health National Outcome Measures (NOMs)

Working Definition

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- “Client-level data are *select data elements* maintained by the state mental health agency (SMHA) on persons receiving mental health services during the reporting period.”

Data elements are unique to each individual.

Scope of Reporting

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- Same as in the URS:

All mental health clients (children and adults) served by the SMHA in the community, state hospital, and/or other inpatient settings during the reporting period.

Persons with single diagnosis of SA or MR/DD were excluded.

Types of Data

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- Data were **NOT** service episode
 - ▣ Data were not linked to:
 - Services received
 - Service dates
 - Service providers

- Data were limited to states' current data collection protocol

Strategies for Protecting Consumer Confidentiality and Privacy

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□ Non-Protected Health Information

PHI

Date of birth → → → → → → → →

SH admission & discharge dates → →

Length of service from admission → → →

Non-PHI Conversion

Age

Elapsed days from discharge to readmission

Client status ID: new admission, readmission, or continuing

□ Safe data transmission methods

file transfer protocol (FTP); password protected; encrypted data files

□ Project-specific, unique client ID.

Master key remained at the pilot state.

Stakeholders Involvement

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Group	Stakeholder Role: Granted approval for state participation in the pilot (number of states)	Stakeholder Role: Project update or information only (number of states)
Consumer Group	0	4
Provider Group	1	3
Mental Health Planning Council	0	6
Governor's Office	2	1
Legislature	0	1

Implementation Process

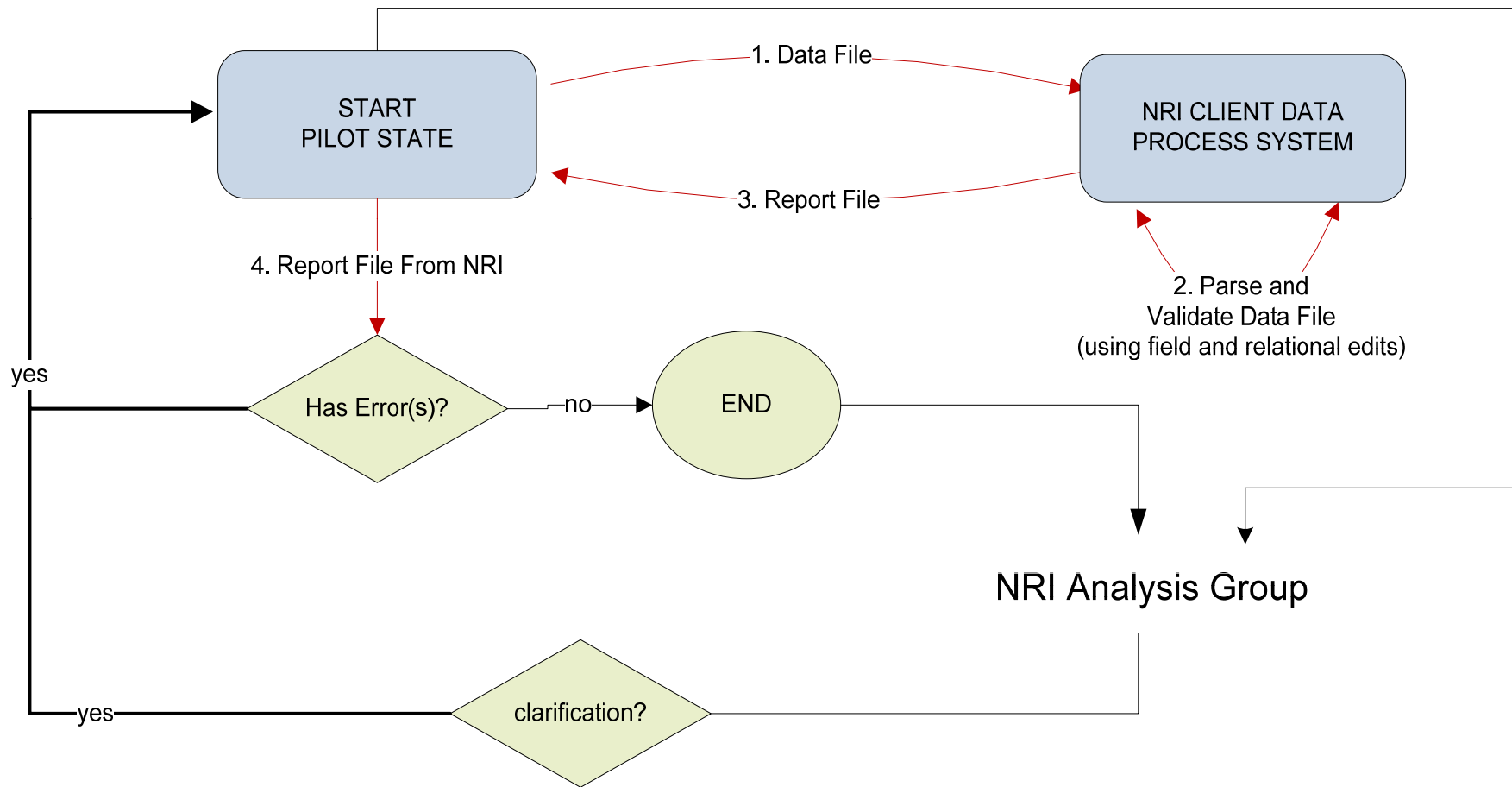
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- Data file requirements
 - ▣ Four data files for two, 12-month reporting periods
 - Basic Client Information (BCI)
 - State Hospital Admission/Discharge
 - Adult Consumer Surveys
 - Youth Surveys

- Standardized reporting
 - ▣ Data dictionary
 - ▣ File layout
 - ▣ Field and relational edits
 - ▣ Crosswalk
 - ▣ Contextual report with data notes

Data Flow

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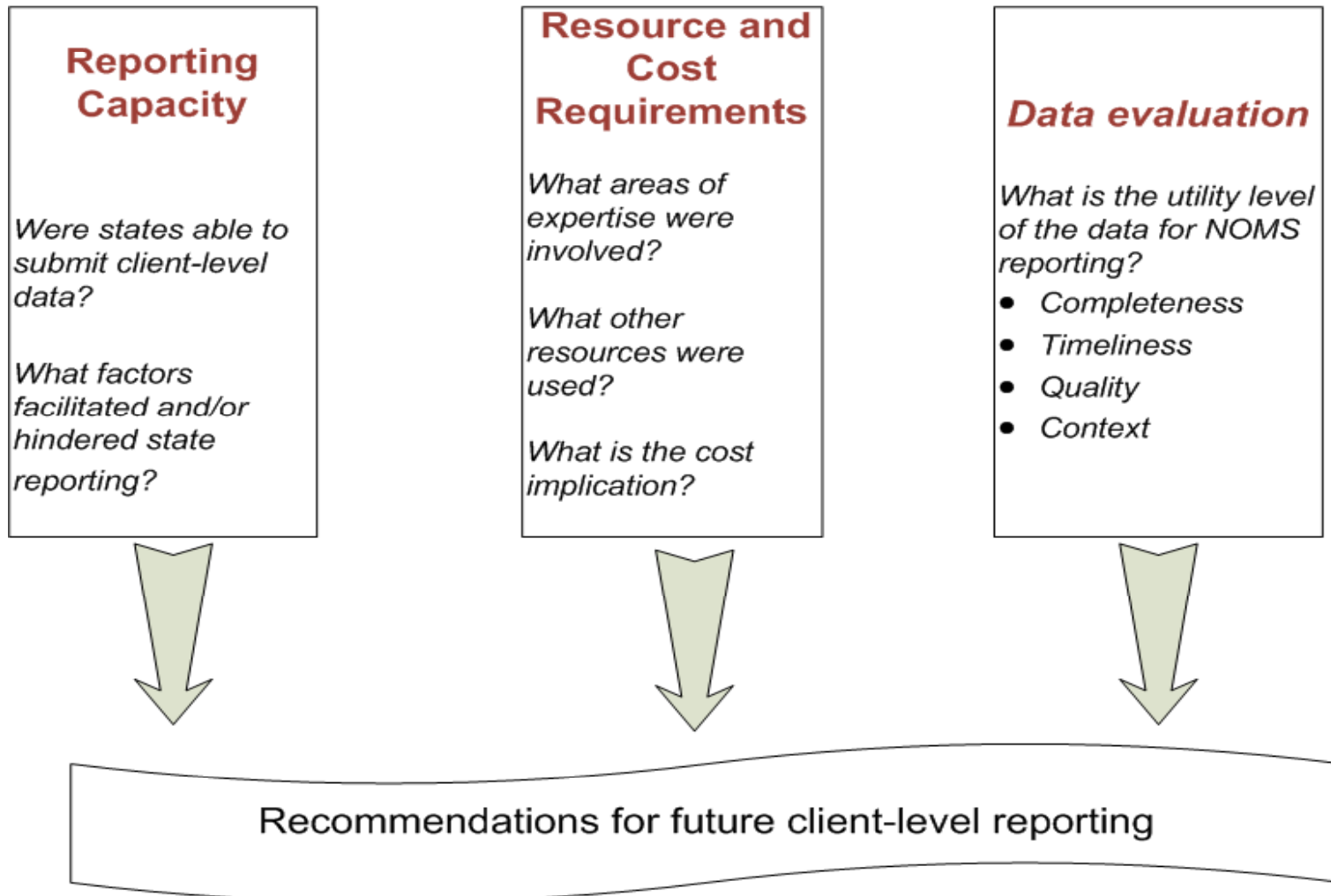


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EVALUATION FINDINGS: Top 10

Pilot Evaluation Domains

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Evaluation Finding #1: All pilot states reported client-level data

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Total Number of Records (All 9 States)			
	Test File Submission	First 12-month Reporting Period	Second 12-month Reporting Period
Basic Client Information	735,963	1,298,496	1,354,422
State Hospital Admissions & Discharges	11,601	23,609	22,968
Adult Survey	27,993	27,993	30,349
Youth Survey	18,431	18,431	26,543

Evaluation Finding #2: Different areas of expertise were involved

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State	Area of Expertise					
	Project Management	Information Technology		Executive Staff	Research & Evaluation/ QA	Clinical Staff
		Data Analyst	Application Developer/ Programmer			
California	X	X	X	X		
Delaware	X	X	X	X	X	
Idaho	X	X	X			X
Kansas	X	X	X	X	X	
Nevada	X	X	X		X	
Oklahoma	X	X	X	X		
Pennsylvania	X	X	X		X	
Vermont	X	X	X		X	
Virginia	X	X	X	X	X	

Evaluation Finding #3: Additional resources were leveraged to improve state reporting

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- Total cost of the Client-Level Data Pilot was \$1,406,623, (includes funds from SAMHSA).
 - States modified data to add elements
 - Two states purchased new server to process data for reporting
 - States hired consultants to help extract data from information systems and process data
 - Several states were in the midst of installing new IT systems, and therefore experienced a combination of start-up costs and additional costs to modify system requirements to generate CLDP information

Evaluation Finding #4: States would need ample time and resources to implement a uniform, standardized client-level data set

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Basic Client Data Set Required Data Elements	States
Collect new data elements	8
Modify existing data	7
Expand collection to all clients	4
Other	1

Optional Data Elements in Basic Client Data Set	States
Establish procedure to collect information	9
Add data fields to currently collected items	7
Other	1

Estimated SMHA cost (from 9 states): \$40M
Estimated Provider cost (from 8 states): \$15M

Evaluation Finding #5:

There was a significant variation in the ability of states to submit complete client-level data

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Outcome Measure	CA	DE	ID	KS	NV	OK	PA	VA	VT
Client Characteristics									
Age	■	■	■	■	■	■	■	■	■
Race	■	■	■	■	■	■	■	■	■
Ethnicity	■	■	■	■	■	■	■	■	■
Employment Status									
Employment Status	■	■	■	■	■	■	■	■	■
Living Situation									
Residential Status	■	■	■	■	■	■	■	■	■
30-Day SH Readmission									
By Age	■	■	■	■	■	■	■	■	■
180-Day SH Readmission									
By Age	■	■	■	■	■	■	■	■	■
By Legal Status	■	■	■	■	■	■	■	■	■

■ N/A Data >10%
 ■ N/A Data <10%
 No Data Submitted

Evaluation Finding #5: Continued...

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Outcome Measure	CA	DE	ID	KS	NV	OK	PA	VA	VT
EBPs									
ACT	■	■	■	□	■	■	■	□	□
Supported Housing	■	■	■	■	■	■	□	□	□
Supported Employment	■	■	■	■	□	■	□	□	■
Family Psychoeducation	■	■	■	□	□	□	□	□	□
Integrated Treatment for Co-Occurring	■	■	■	■	□	■	□	□	□
Illness Self-Management	■	■	■	□	□	■	□	□	□
Medication Management	■	□	■	□	□	□	■	□	■
Therapeutic Foster Care	■	□	■	■	□	□	■	□	□
Multisystemic Therapy	■	□	■	□	□	□	■	□	□
Functional Family Therapy	■	□	■	□	□	□	■	□	□

■ N/A Data >10%
 ■ N/A Data <10%
 □ No Data Submitted

Evaluation Finding #5: Continued...

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Outcome Measure	CA	DE	ID	KS	NV	OK	PA	VA	VT
Criminal Justice Involvement (Administrative Data): Arrest 30 Days									
Children									
Adults									
Criminal Justice Involvement (Administrative Data): Arrest 12 Months									
Children									
Adults									
School Attendance (Administrative Data)									
School Attendance									

■ N/A Data >10%
 ■ N/A Data <10%
 No Data Submitted

Evaluation Finding #6: States can report different indicators at various levels of data specificity and availability

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Data Fields (% valid values)	CA	DE	ID	KS	NV	OK	PA	VA	VT
Gender	99%	97%	100%	100%	100%	100%	97%	100%	100%
Age	100%	96%	100%	100%	100%	100%	100%	100%	100%
Race	89%	95%	99%	94%	91%	100%	97%	96%	93%
Marital Status	2%	51%	95%	0%	92%	100%	0%	20%	93%
Military Status	1%	47%	93%	0%	70%	100%	.5%	17%	3%
SMI/SED Status	98%	100%	83%	94%	79%	100%	76%	90%	60%

	T1	Percentage	Min	Max	States
Military Status					
Veteran	4,530	0.5%	0.0%	6.0%	8
Active Duty	18	0.0%	0.7%	0.7%	1
No Military Status	87,639	9.7%	0.7%	96.2%	7
Not Available	807,392	89.8%	0.0%	100.0%	9

Evaluation Finding #7:

The rate of unknown/not available information was a critical factor in outcomes analysis

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Change Measure Using Different Definition of T1 and T2	Percent of Cases with Living Situation Information Reported for NOM Calculation	Number of States
Change from T1 (= End of first reporting period) to T2 (= End of second reporting period)	38%	9
Change from T1 (= at admission) to T2 (= End of second reporting period)	7%	3
Change from T1 (= at admission) to T2 (= at discharge)	19%	2

Change Measure Using Different Definition of T1 and T2	School Attendance	
	% with Cases of School Attendance Information Reported for NOM Calculation	Number of States
Change from T1 (= End of first reporting period) to T2 (= End of second reporting period)	54%	3
Change from T1 (= at admission) to T2 (= End of second reporting period)	42%	3
Change from T1 (= at admission) to T2 (= at discharge)	Not Reported	0

Evaluation Finding #8: State databases are dynamic

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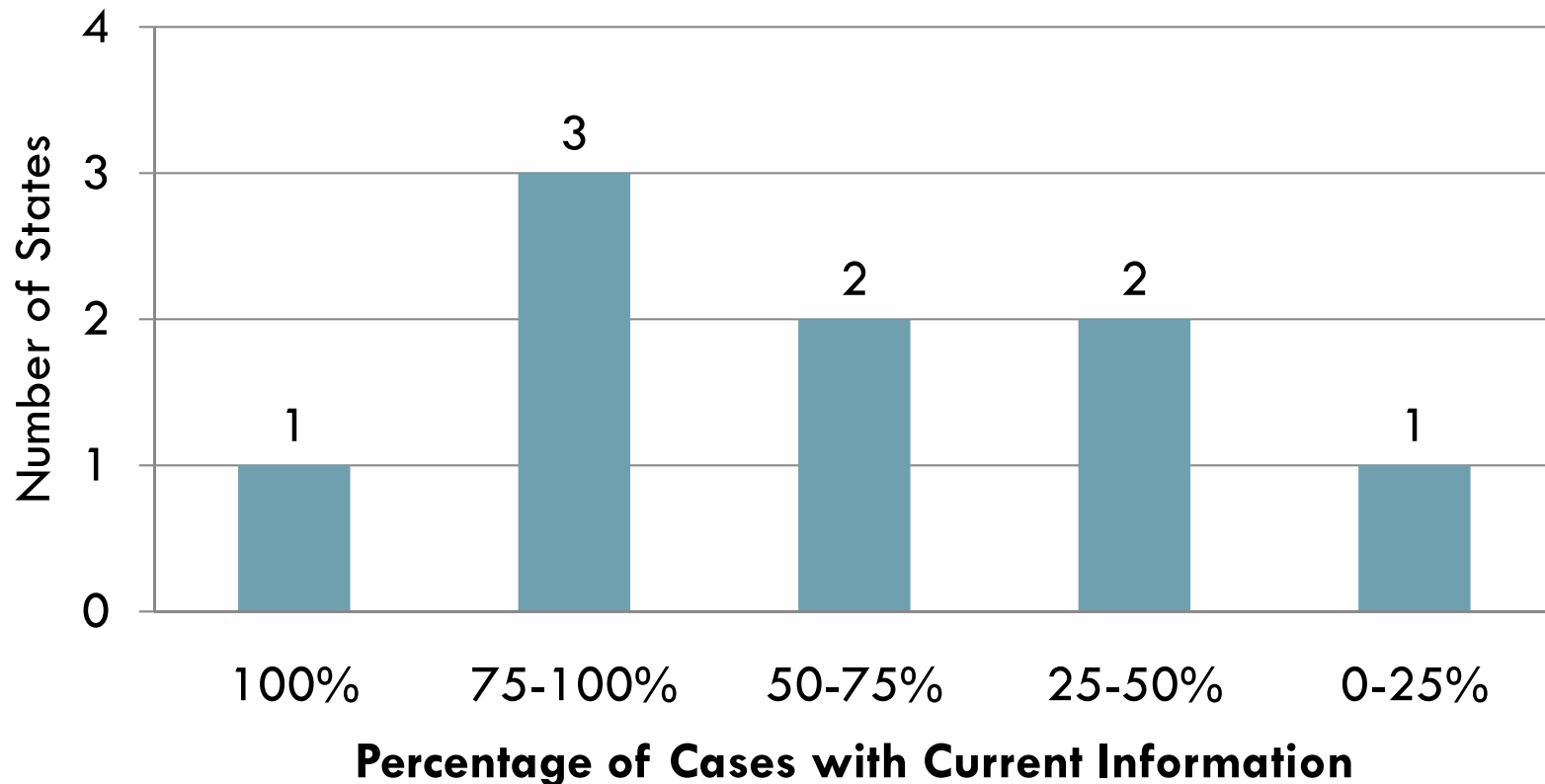
- Year 1 /Year 2 data file validation
 - Unmatched demographic information:
 - Race: 9 states (average of 4% of cases)
 - Age: 8 states (average of 16% of cases)
 - Unmatched Year 1 end status and Year 2 beginning status
 - Year 2 new client appears only in Year 2 file:
 - 9 states (range of <1% to 22%)
 - Missing Cases
 - Year 1 cases with end status of 'continuing' not reported in Year 2:
 - 8 states (range of 3% to 48% of year 1 cases with 'continuing' as end status)

Evaluation Finding #9:

States need to further improve the timeliness of reporting client-level data

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- State assessment*: percentage of cases with current information (i.e., recent data update)



*State staff's best estimate

Evaluation Finding #10: The data collection procedures varied across states (Frequency)

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State	Arrest Status Updated at:						Employment Status Updated at:						Living Situation Updated at:					
	A	C	D	M	Q	Y	A	C	D	M	Q	Y	A	C	D	M	Q	Y
CA							X		X			X	X		X			X
DEa	X		X	X			X		X	X					X			
DEc							X											
ID	X					X	X				X							
KS				X		S	X			X		S	X			X		
NV						X	X								X			
OK	X		X			S	X		X			S						
PA						X	X		X		X		X		X			
VT									X	X			X			X		
VA																		

Key:

A – At Admission

C – When the Record Changed

D – At Discharge

M – Monthly

Q – Quarterly

Y – Annually

S – Semi-Annually

Evaluation Finding #10: continued (Operational Definition)

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State	Employment Status								
	Currently Employed	Employed within 30 Days	Full Time	Full Time (30 hours or more)	Full Time (35 hours or more)	Part Time	Part Time (less than 30 hours)	Part Time (less than 35 hours)	Competitive Employment
CA	X				X			X	
DE		x	X			X			
ID	X								X
KS				X			X		
NV	X		X			X			
OK	X				X			X	
PA	X								X
VT					X			X	
VA					X			X	